An aerial photograph of a river delta, likely the Mississippi River Delta, showing a large, circular island in the center. The water is a deep blue, and the land is a mix of green and brown. The text is overlaid on the top half of the image.

Kentucky Emergency Management Planning Guide 2 2015

How to Write the Basic Plan

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Introduction

This Planning Guide provides a step by step process for the development of the Basic Plan of the County Emergency Operations Plan.

This guide is part 2 of a 5 part series of Planning Guides developed by KYEM to assist planners across the Commonwealth with their emergency planning needs. The other Guides in this series are:

- Kentucky Emergency Management Planning Guide 1 (2015) *The Basic Guide to Developing Emergency Operations Plans*
- Kentucky Emergency Management Planning Guide 3 (2015) *How to Write Emergency Support Functions*
- Kentucky Emergency Management Planning Guide 4 (2015) *How to Write Incident Specific and Support Plans using the Active Planning Process*
- Kentucky Emergency Management Planning Guide 5 (2015) *The Emergency Resource List*

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Developing the Basic Plan

What is the Basic Plan

The Basic Plan is the overarching document that all other plans obtain direction from, are written in support of, and add specificity to. The Basic Plan establishes:

1. The County and its primary threats and vulnerabilities.
2. The County's Emergency Response Direction and Control structures and how they will be implemented during emergencies.
3. A framework for the Emergency Support Functions and the Incident Specific Plans that support the Basic Plan.

County Description

The County Description Section of the Basic Plan should provide a broad overview of the County and what resources it has to deal with emergencies and disasters.

Mission Statement

A mission statement clearly defines the reason for the existence of the EOP and delineates the purpose and role of Emergency Management in the EOP.

The commitment to formulating an Emergency Management mission can be critical to your County's success in disaster response, stabilization, and recovery. It helps keep emergency management personnel and programs focused on preserving or strengthening the County both programmatically and operationally.

The most successful mission statements are measurable, definable, and actionable statements with emotional appeal that everyone knows and can act upon.

Creating a mission statement

A "call to action" mission statement is:

- A motivational response to all of those involved in the plan
- Easily understood and can be transferred into individual actions every day
- A measurable, tangible goal
- Firmly rooted in the environment in which the Emergency Management and the EOP operates

A mission statement is also influenced by:

- History and traditions
- Management preferences
- Distinctive skills the County possesses
- County resources
- Strengths and weaknesses in the County

A good mission statement provides vision and direction for the Emergency Management program and the County. However, the mission statement must be revised if it is no longer appropriate or has lost significance or relevance.

Situational Assessment

The situational assessment portion defines the strategic situation that the County finds itself in as it relates to disasters. These situations are often related to the historical effects that have been experienced by the County as a whole. The situational assessment does not discuss hazard specific types of information, but deals more with the effects that those hazards have had on the County's ability to warn, communicate, respond, support its citizens, and recover from a disaster, or limitations of landscape or the environment.

The situational assessment should provide answers to these questions:

- How often and how confidently are you able to provide warning for a disaster?
- How fast have disasters occurred and escalated beyond your ability to deal with the effects.
- How have systems been effected (power, water, emergency communications, normal communications, and the transportation network) by disasters?
- How have disasters affected the ability of emergency services and law enforcement to respond? Do they get easily overwhelmed? Are they able to effectively utilize resources through mutual aid?

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- How have the citizens of the County dealt with disaster? How quickly do they require assistance? What kind of assistance do they generally require? What is the reliance on emergency sheltering of citizens?
- How long has it taken for outside resources (food, water, additional workers, etc...) to come to the aid of your County?
- How well has the County come together in disasters in the past? How well have they responded to previous disasters?
- How well has the County recovered from disasters in the past? What have been some of the difficulties that have arisen? What are some of the things that you can count on to occur?
- Have there been limitations that the County runs up against during a disaster in terms of financial capabilities, manpower limitations, and/or lack of certain skills.
- Are there limitations imposed on the County from the physical landscape? Do areas become isolated? Is the County segmented by physical features?

Answering these questions will enable you to assess the current strategic situation that your County faces and allows you to make assumptions about how the County will be able to respond, stabilize, and recover from disasters.

General Assumptions

In planning for disasters, we must make certain assumptions about how the County will react, organize, operate, and mitigate the effects of disasters. Many of these assumptions will be drawn from the Situational Assessment.

(Example: During the situational assessment, you find that it takes generally 72 hours for food and water to reach your County. So you can now assume that in nearly every disaster the County will have to provide food and water for its citizens for the first 72 hours.)

Other assumptions may be laid down in local or state laws, regulations, and/or policies. An example of this would be what agency is the lead in the County disaster response. Assumptions of this type, generally deal with how the County will organize and operate during a disaster.

Some assumptions can be made from demographic information collected in the County description.

(Example: Demographic information shows that 75% of citizens in the County primarily rely on electricity for heating. From that you can assume that a long-term power outage, during low temperatures will likely result in a requirement for warming centers or sheltering.)

Hazard Assessment

The Hazard Assessment provides a general overview of the reasons why we are planning, what we are planning for, and of what we are most concerned. The Hazard Assessment should provide the following information:

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- What hazards do we have that could cause disasters in the County?
- Which hazards are of greatest concern?
- What is the source of those hazards and what issues are associated with them?
- When was the last occurrence of the hazard and did a disaster occur?
- How much disruption and/or what effects has a hazard had on the County.
- A Hazard Assessment should include both manmade hazards (i.e. hazardous materials) and natural hazards (i.e. flooding).

One of the best ways of looking at your hazard threat is to use a map and draw on it the areas where you have had reoccurring or severe incidents in the past, what caused those incidents and what if anything has been done to mitigate the impact if they happened again. Below is an example of a simple hazard assessment map:

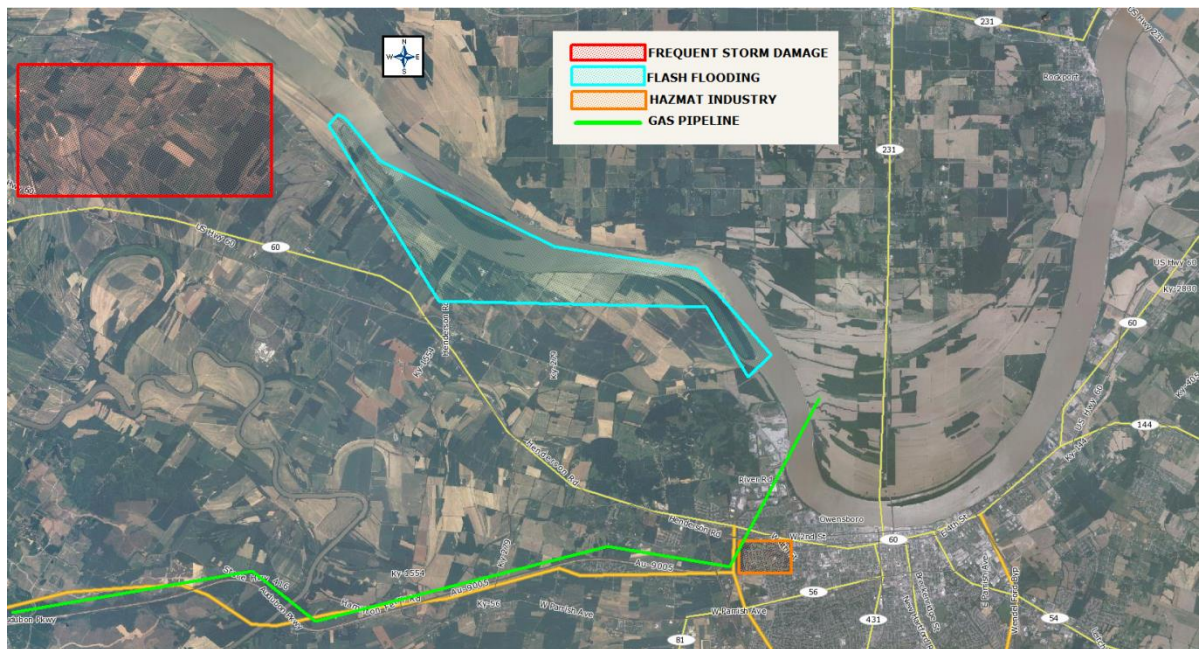


Figure 9: Sample of a Hazard Assessment Map

Direction and Control

The Direction and Control section describes how a County/Joint County is organized politically and operationally before and during an emergency. It describes where the County leadership will gather and how they will organize their resources to maximize their limited capabilities in support of the citizens impacted by a given incident.

Emergency Management Structures

Emergency Operations Management Structures describe the Direction and Control system implemented in support of the Emergency Operations Plan and allows for cross agency coordination within the Counties as well as with State and Federal Operations Centers.

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There are various ways to organize as a County during disaster. Following are examples organizational systems:

Figure 10: ICS with ESF under a Liaison

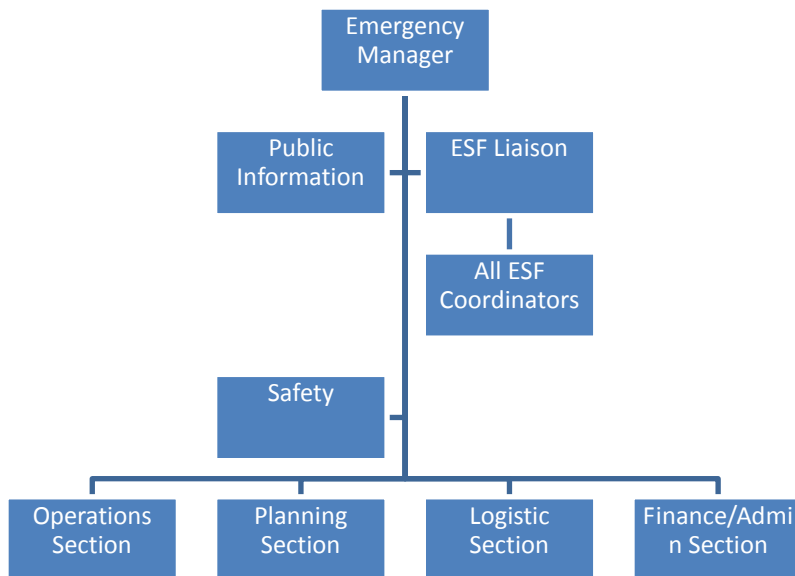


Figure 11: ICS with ESF Integrated

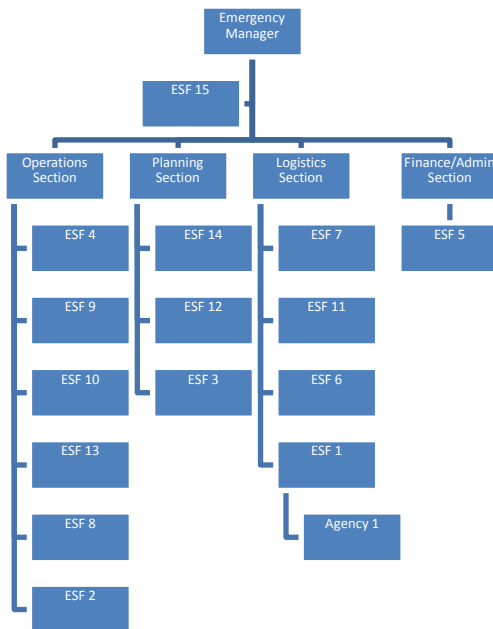
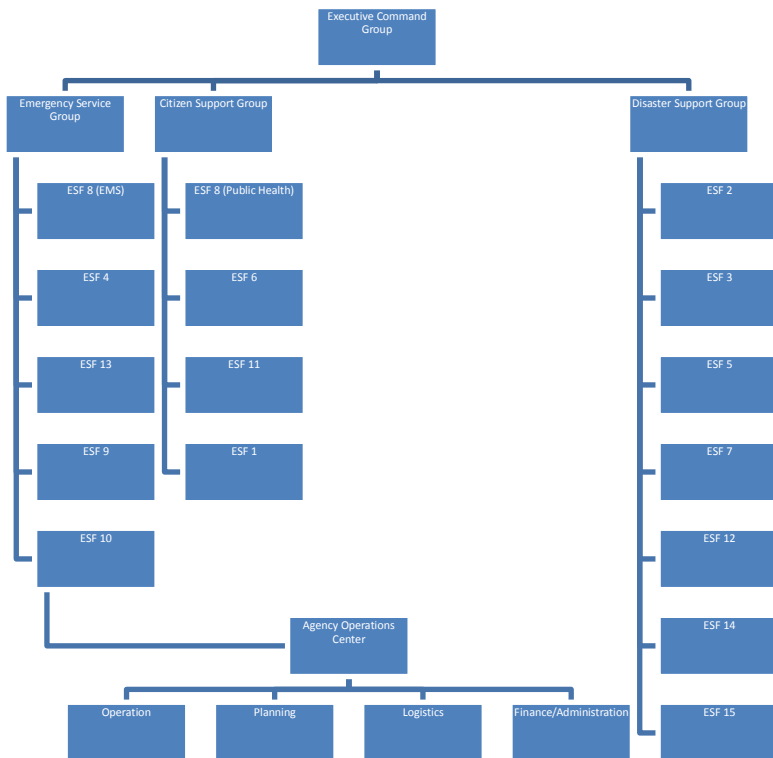


Figure 12: Coordination Based on Functional Groups



No matter what kind of organizational structure you employ, there is a set of basic information that must be included to describe the organizational relationships and

how groups or people operate within this structure. This is known as a Concept of Operations. The Concept of Operations should include the following information:

- Who is in charge of or the lead agency/person for overall operations?
- What is the organizational relationship between groups/sections/people?
- How do they work together, or what is their focal point?
- What are the roles and responsibilities of each group/section/people?

Summation of Emergency Support Functions (ESF)

As part of the Emergency Management Organization section of the Basic Plan, a brief overview of the roles and responsibilities of the ESFs should be given. This overview generally describes their job function.

Political Organization

The Political Organization section generally describes the “Division of Powers” between Chief Elected Officials. This seeks to say primarily responsible for what jurisdictions (i.e. Mayor = City, CJE = County) and how they will work together in a disaster to support one another as a County or Joint County operation. It also attempts to show who has primary responsibility for setting policy and priorities for jurisdictions.

Step by Step Basic Plan

Step 1 – Form the Core Planning Team

The Core Planning Team (*Refer to Planning Guide 1, page 12*) should be made-up of the 5-7 major groups and agencies involved in the disaster response. Examples of members of this team are major Fire Departments, Sherriff's Office, Public Health, Emergency Management, Road Department, representatives from the County Judge Executive's or Mayor's Office, major water and/or power provider, major Business Leaders, and major Volunteer Organization(s).

Role of the Core Planning Team in Basic Plan Development

The role of the Core Planning Team in the development of the Basic Plan is as a sounding board. The Planner should present draft information to the Team and obtain feedback on direction and focus. The Planner should also seek to obtain additional supporting information on effects of hazards on the County and confirm that the hazard matrix is accurate.

Information to be provided to the Core Planning Team by the Planner

The following information should be provided to the Core Planning Team:

1. Hazard Assessment
2. Hazard Matrix and Map
3. Demographic Information
4. County Resources
5. General Assumptions

(This information should be taken from the County Basic Plan Worksheet)

The Planner may wish to obtain feedback on Mission Statement and Direction & Control portions of the plan, but in many cases, these items are already fixed by program or political situation.

Step 2 – Develop a Mission Statement

Tips for Mission Statement Development

- The mission statement should be developed with input from the County Judge Executive(s).
- Write in the positive and active voice.
- Make it simple; with no more than three short paragraphs; using simple grammar and everyday words.
- Focus on measurable and tangible goals.
- Use history and traditions to focus the statement.

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- Write within the bounds of what your Jurisdiction has or is able to accomplish.

Placement of the Mission Statement Section

It is recommended that the Mission Statement be the very first section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Mission, Mission Statement, etc).

Step 3 – County Description Section

Describe the County through Its Demographics

Remember to use the latest available census data or projections in your plan. The basic County demographics that must be referenced to are, but not limited to:

- Population
 - Overall County Population
 - Population of Incorporated Cities and/or Towns
 - Rural Population (this may be expressed as a percentage or physical number)
 - Urban Population (this may be expressed as a percentage or physical number)
 - Functional Needs Populations
 - Elderly
 - Disabled
 - Limited English Speaking
 - Institutional Populations
 - Hospitals
 - Nursing homes and Assisted Living
 - Colleges and Boarding Schools
 - Incarcerated (local jails or state prison)
- Housing
 - Total number of Housing Units (includes Apartments and Individual Dwellings)
 - Rentals (this may be expressed as a percentage or physical number)
 - Owner-occupied (this maybe expressed as a percentage or physical number)
 - Average Household Size
- Heating Types
 - Electric

- LP
- Kerosene
- Natural Gas
- Utilities
 - Water Customers (by provider)
 - Power Customers (by provider)
 - Sewer Customers (by provider)
- High Occupancy Structures

(See: *Developing the Basic Plan – County Description*)

County Resources

The following assets should be describe, but not limited to:

- County Fire Protection Assets
- County Law Enforcement Assets
- County Medical Assets
- County Shelter Assets
- County Public Works Assets
- County Communications Assets

Tips for descriptions of County Resources:

- Do not use equipment or vehicle list to describe the asset.
- Describe the capabilities they have? What can they do?
- What are the limits of their capabilities?
- Do they have a special capability?

Placement of the County Description Section

It is recommended that the County Description be the second section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. County Description, Demographics & Resources, etc...).

Step 4 – Hazard Assessment Section

Using the County Basic Plan Worksheet, list all natural and man-made hazards impacting the County. After listing all hazards to the County, complete the hazard matrix section of the worksheet. Mark the hazards on a county map to develop the County Hazard Map.

General Listing of Hazards

List all hazards from County Basic Plan Worksheet along with likelihood of occurrence and impact to the County as you have ranked them in the hazard

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matrix. It is recommended that Planners insert the hazard matrix into this section or develop a table listing the top three hazards.

Describe the Hazard

It is recommended that all hazards listed in the hazard matrix have an assessment completed on them as described in *Developing the Basic Plan – Hazard Assessment* section. At a minimum, the top three hazards should be assessed in this manner.

Placement of the Hazard Assessment Section

It is recommended that the Hazard Assessment be the third section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Hazards, Hazard Assessment, etc...).

Step 5 – Situational Assessment Section

List non-hazard specific related limitations placed on the County as described in *Developing the Basic Plan – Analyze the Information* of this Handbook.

Placement of the Situational Assessment Section

It is recommended that the Situational Assessment be the forth section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Situations, Situational Assessment, etc...).

Step 6 – Planning Assumptions Section

(See: *Developing the Basic Plan – General Assumptions* for further guidance.)

General Assumptions

Under the General Assumptions, the following should be addressed:

- Assumptions based on historical reaction of the County to disasters
- Assumptions based on how County agencies and organizations will respond
- Assumptions based on how the County operates during a disaster
- Assumptions on how the County will make efforts to mitigate and warn impending disaster
- Assumptions based on local and state laws, divisions of power, regulations, or longstanding policies
- Assumptions based on Hazard Assessment
- Assumptions based on County Demographics

Placement of the Planning Assumptions Section

It is recommended that the Planning Assumptions be the fifth section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Assumptions, Plan Assumption, etc...).

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Step 7 – Direction and Control Section

(See: Planning Guide 1, Developing the Basic Plan – Direction and Control for further guidance.)

Political Organization

This sub-section should address jurisdictional leadership and division of powers among Chief Elected Officials. It should also discuss how jurisdictions would cooperate and collaborate in disasters for the betterment of the County.

This Political Organization section may be described in a graphical hierarchy chart. However, a straightforward paragraph to sufficiently describing the jurisdictional relationships will fulfill the requirements of this section.

Emergency Management Organization

This sub-section should address the organization of the County in a disaster (likely the Emergency Operations Center organization).

It is highly recommended that the Emergency Management Organization be fulfilled by an organization chart showing the relationship and management structure during a disaster.

Summation of Emergency Support Functions

This sub-section should provide a general description of the roles and responsibilities of the ESFs.

Placement of the Section

It is recommended that Direction and Control be the sixth and final section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Direction, Command and Control, Direction and Control, etc...).

KYEM Basic Plan Worksheet

A County Basic Plan worksheet and Basic Plan template are available at <http://KYEM.ky.gov/programs/Pages/CountyEOP.aspx> to help prepare your basic Plan.

Joint County Plans (Guidance TBD)

Under current KRS's, Counties of two (2) or more may jointly create a single unified local emergency management agency.

KRS 39B.010 (eff. 15 July 2015)

KRS 39B.020 (eff. 15 July 2015)

KRS 39B.030 (eff. 15 July 2015)

KRS 39B.050 (eff. 15 July 2015)

KRS 39B.060 (eff. 15 July 2015)

All reference the Joint County Emergency Management Laws. Refer to these statutes for further information.

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